



APPLICATION FOR RECORDS RETENTION SCHEDULE

OFFICE OF THE SECRETARY OF STATE
DEPARTMENT OF ARCHIVES AND HISTORY
RECORDS MANAGEMENT DIVISION

INSTRUCTIONS: See Publication No. 76-RM-1 for instructions on completing this form. Forward signed original to Department of Archives and History, Records Management Division, 330 Capitol Avenue, Atlanta, Georgia, 30334, Attention: Scheduling Section.

FOR AGENCY USE		1. Agency Address	FOR RECORDS MANAGEMENT USE	
Application Date		Department of Transportation Office of Maintenance Personnel No. 2 Capitol Square Atlanta, Ga. 30334-1002	Application Number 97-0036	
Application Number			Date Received Feb 19, 1997	Date Completed April 15, 1997
2. Person to Contact Millicent C. Arnold		Working Title Personnel Analyst, Sr.	Telephone Number 404-657-4592	
3. Action Requested				
a. <input checked="" type="checkbox"/> Establish Retention Schedule; record will continue to accumulate.				
b. <input type="checkbox"/> Dispose of present accumulation; no further accumulation anticipated.				
c. <input type="checkbox"/> Amend Application No. _____ Check One: <input type="checkbox"/> Change; <input type="checkbox"/> Supersede; <input type="checkbox"/> Void				
4. Dates of Series Earliest -1995- Latest to date		5. Records Series Title (followed by title used in office, if different) Drug & Alcohol Testing Information		
6. Division and Office Function What is the function of the Division and the Office in which this record series is created? Deputy Commissioner - Special Staff - provides staff support to the Department in the areas of personnel; public affairs; systems development; state aid; equal opportunity; legal services. Office of Maintenance Personnel is responsible for administering the Drug & Alcohol Screening Program and maintenance of the screening records. Also, maintains complete permanent record of maintenance employees and maintains records needed for documentation during their employment.				
7. Record Series Description This file contains the following documents (include form numbers and titles, if any): Attach samples of the file. Documents relating to: Documents related to drug and alcohol testing information under Federal and State Law. Included are: Form Numbers: 1) Forensic Drug Testing Custody and Control Form No. 20082904 2) Federal Drug Testing Custody and Control Form No. 20040327 3) U. S. Department of Transportation (DOT) Breath Alcohol Testing Form No. 20040327 File is arranged: File is arranged chronologically by calendar year.				
8. Monthly Reference Rate How often are records referred to which are: One to six months old <u>4</u> ; Seven to twelve months old <u>1</u> ; Thirteen to twenty-four months old <u>0</u> ; twenty-five months and older <u>0</u> ?				
9. Annual Rate of Accumulation of Records Letter-size drawers <u>1</u> ; Legal-size drawers _____; Shelves _____; Other (specify) _____				

YES	NO	10. Questionnaire (Place an "X" in the proper column)
X		a. Is this the official copy of the series? If not, where is it?
X		b. Does the series contain confidential information requiring security handling? If yes, cite law or regulation. Federal - 49 CFR Parts 382
X		c. Is this a vital record?
	X	d. Does this series have historical or long term research value?
	X	e. When one or two documents in the file make it necessary to keep the entire file for a long period, could these documents be scheduled separately?
	X	f. Is the information contained in this series ever published? If yes, attach copy.
X		g. Is the information contained in this series ever analyzed and/or recorded in a summarized report? If yes, attach copy.
X		h. Is there a duplication of this series in your office, or in another office or agency? If yes, where? District Office
	X	i. Is this series (or a major portion of it) regularly microfilmed?
X		j. Does the record series result in a computer printout?

11. Retention Requirements The following requires the series to be kept:

- | | | | |
|--------------------------|----------------|-----------------------------------|----------------|
| a. State Law | _____ years. | d. Audit period | 3 _____ years. |
| b. Statute of limitation | _____ years. | e. Administrative need | 1 _____ years. |
| c. Federal law | 5 _____ years. | f. Federal retention instructions | _____ years. |

Attach copy or excerpt of laws or regulations. Explain administrative need.

Federal Law Record Retention attached.

12. Approved Disposition Instructions This agency recommends that the file series be cut off at the end of each:

☒ Calendar Year; ☐ Fiscal Year; ☐ Other _____ then,

- ☐ Hold in the current files area _____ month(s) _____ year(s); then
- ☒ Transfer to local holding area; hold 5 _____ year(s); then
- ☐ Transfer to State Records Center; hold _____ year(s); then
- ☒ Destroy.
- ☐ Transfer to State Archives for permanent retention.
- ☐ Other (Specify)

Office of Maintenance Personnel - cut off file at end of each calendar year; transfer to State Records Center; hold 5 years; then destroy.

District Office: cut off file at end of each calendar year; hold in inactive file area 5 years; then destroy.

These instructions apply to all prior and future accumulations of the series.

Agency Head/Designee (Signature)	Date	Records Management Officer (Signature)	Date
Joseph R. Couch	02-10-97	Martha B Lamb	2/11/97
Recommendations in paragraph 12 are approved. (If disapproved, attach letter of explanation.)		State Records Committee (Signature)	Date
State Auditor/Designee		SEE ATTACHED	
Secretary of State/Designee		SIGNATURE SHEET	
Attorney General/Designee		JULY 10, 1997	

Record Retention and Reporting Requirements

The records shall be maintained in a secure location with controlled access. All records required by this part shall be maintained as required and shall be made available for inspection at the employer's principal place of business within two business days after a request has been made by FHWA.

Period of Retention**5 Years**

- 1) Records of driver alcohol test with results indicating an alcohol concentration of 0.02 or greater.
- 2) Records of driver verified positive controlled substances test results.
- 3) Documentation of refusals to take required alcohol and/or controlled substances tests.
- 4) Calibration documentation.
- 5) Driver evaluation and referral actions.
- 6) A copy of each annual calendar year summary.


2 Years

- 1) Records related to the alcohol and controlled substances collection process.
- 2) Records related to the alcohol and controlled substances training.

1 Year

- 1) Records of negative and canceled controlled substances test results.
- 2) Records of alcohol test results with a concentration of less than 0.02.

The State Records Committee has authorized the approval of these disposition instructions for the records series described in the attached retention schedule application.


Edward Weldon
Secretary of State Designee

7/23/97
Date